

Risk Assessment – Information for Care Service Providers

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Background

Over the last three years, the Care Inspectorate (and the previous Care Commission) adopted an approach of ‘regulating for improvement’, which aimed to focus on services which were not performing to the highest standards. This approach led to the development of the Regulatory Support Assessment (RSA), which was used to identify levels of risk within each care service. The risk assessment allocated a low, medium or high risk level and this was used to work out the amount of time spent inspecting a service during the inspection year – for example: a high risk service could expect more frequent and detailed inspections than a low risk service.

The RSA has worked well but a review was needed to take account of changes in the way the Care Inspectorate will work following the organisational changes in April this year – the main change being, greater flexibility in how often we have to inspect care services. We have therefore developed a new risk assessment tool, called the Risk Assessment Document (RAD).

The Risk Assessment Document (RAD)

The RAD is used by inspectors and their managers to inform the inspection planning process. It operates in the same way as the previous RSA but has some new questions added. The risk levels continue to be identified as low, medium and high.

Inspectors and their managers use the risk levels to decide:

- When inspections need to be carried out – for example: is an inspection needed in the next inspection year and, if so, should it be prioritised for earlier in the inspection year or left until later?
- The intensity of the inspection and which quality themes and statements will need to be covered.

Risk levels also inform the amount of time allocated to an inspection. The higher the level of risk, the more time allocated.

When will the RAD be completed?

Our inspectors will update risk assessments whenever they have worked on inspections, complaints and enforcement cases, or have received important information about the quality of services being provided.

The updates may reflect an improvement or deterioration in the quality of service provision.

Who can see the RAD?

Although care service providers have no direct input into risk assessments, they will be able to see the completed RAD in their eForms area, in the same way that they have been able to see the RSA, once the inspector has submitted the RAD tool in the RMS.

Each question in the RAD has two scores:

RAD score

This corresponds to the scores used in the previous RSA tool. This is the score which will be used to calculate the risk level for the care service.

The levels for the RAD score are:

Risk Level	Score
Low	0 - 3
Medium	4 - 6
High	7+

Expanded RAD score

This is the new score for the RAD. This is for information only and will be used for further analysis of the RAD to determine whether the questions are accurate predictors of risk.

The levels for the Expanded RAD score are:

Risk Level	Score
Low	0 - 34
Medium	35 - 61
High	62+

The Care Inspectorate does not automatically make the detail within the RAD available to anyone other than the care service provider. If someone else asks for the full RAD record of a service, this will be treated as a Freedom of Information request under the Freedom of Information (Scotland) Act 2002.

Any comments that you have regarding the development of RAD would be welcomed and should be sent to Amy Isaac, Inspector Manager, (amy.isaac@careinspectorate.com) or Stuart Mackenzie, Intelligence and Methodologies Manager (stuart.mackenzie@careinspectorate.com).